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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/736,001	12/15/2003	John D. Richter	14012-053001/50-03-034	2963

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EXAMINER

COLAN, GIOVANNA B

ART UNIT	PAPER NUMBER
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2162

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Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary	Application No. 10/736,001	Applicant(s) RICHTER, JOHN D.	
	Examiner Giovanna Colan	Art Unit 2162	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 15 December 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-23 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-23 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 15 December 2003 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).
- * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input checked="" type="checkbox"/> Information Disclosure Statement(s) (PTO-1449 or PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application (PTO-152) |
| Paper No(s)/Mail Date <u>12/15/2003</u> . | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. This action is issued in response to applicant filed application on 12/15/2003.
2. Claims 1 – 23 are pending.
3. The information disclosure statement (IDS) submitted on 12/15/2003. The submission is in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

Claim Rejections - 35 USC § 102

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

5. Claims 1 – 23 are rejected under 35 U.S.C. 102(b) as being an anticipated by Win et al. (Win hereinafter) (US Patent No. 6,182,142 B1, issued: January 30, 2001).

Regarding Claims 1, and 10, Win discloses an article comprising a machine-readable medium storing instructions operable to cause one or more machines to perform operations comprising:

analyzing database access statements issued for an application in use (Col.2, lines 28 – 33, Win¹);

determining accessed items and types of access for the application based on the issued database access statements for the application (Col.2, lines 31 – 34, Win²); and

developing a role associated with the application based on the determined accessed items and types of access (Col.2, lines 35 – 38, Win³), wherein the role may be used to allow a user database access when associated the application (Col. 2, lines 39 – 40 and 47 – 49, Win).

Regarding Claims 2, and 11, Win discloses a article, wherein analyzing the issued database access statements comprises:

determining whether the database access statements have been captured (Figure 5B, item 516, Col. 10, lines 29 – 34, Win⁴);

normalizing the database access statements (Col.14, lines 15 – 17, Win); and
eliminating redundancies in the database access statements (Col. 14, lines 15 – 19, Win).

¹ Wherein examiner interprets the step of controlling access, particularly by receiving access information and identifying resources authorized (as disclosed by Win) as the step of analyzing the database access statements as claimed.

² Wherein the resources correspond to the accessed items claimed; and the roles correspond to the type of access claimed.

³ Wherein the step of defining the roles corresponds to the step of developing a role claimed.

⁴ Wherein the step of recording a login attempt corresponds to the step of determining whether the database access statements have been captured as claimed. Specifically, the user's name and password correspond to the access statements claimed.

Regarding Claim 3, Win discloses a method wherein the database access statements comprise Structured Query Language (SQL) queries (Col. 7, lines 9 – 11, Win).

Regarding Claims 4, and 12, Win discloses an article wherein the determined accessed items and types of access include objects accessed (Col. 2, lines 31 – 33, the resources, Win) and operations performed on the objects (Col. 2, lines 39 – 40, to use the resources, Win).

Regarding Claims 5, and 13, Win discloses an article wherein developing a role comprises determining permissions for the application based on the determined accessed items and types of access (Col. 3, lines 34 – 37, Win).

Regarding Claims 6, and 14, Win discloses an article wherein the instructions are further operable to cause one or more machines to perform operations comprising determining which of a set of users are authorized to use the application (Col. 3, lines 13 – 14, Win).

Regarding Claims 7, and 15, Win discloses an article wherein the instructions are further operable to cause one or more machines to perform operations comprising:

determining whether a user request to establish an application session has been detected (Figure 5B, item 516, Col. 10, lines 29 – 34, a login attempt, Win);

finding the role associated with the application (Figure 5C, item 520 and 522, Col. 10, lines 57 – 63, Win); and
assigning the role to a user (Col.13, lines 32 – 34, Win).

Regarding Claims 8, and 16, Win discloses an article wherein detecting a user request to establish an application session comprises determining if a user is authorized to use the application (Col. 13, lines 34 – 36, Win).

Regarding Claims 9, and 17, Win discloses an article wherein the instructions are further operable to cause one or more machines to perform operations comprising:

detecting an end of the application session (Col.9 and 10, lines 45 – 47 and 39 – 42; respectively, Win); and

if an end of the application session is detected (Col.10, lines 39 – 42, Win), disabling the assigned role for the user (Col. 10, lines 42 – 45, Win).

Regarding Claim 18, Win discloses a database security analyzer comprising:
a communication interface operable to receive database access statements issued for an application in use (Figure 9, item 918, Communication Interface, Col. 27, lines 17 – 31, Win);

a memory operable to store the issued database access statements (Figure 9, item 906, Main Memory, Col. 26, lines 8 – 15, Win); and

a processor (Figure 9, item 904, processor, Col. 26, lines 36 – 42, Win) operable to develop a role associated with the application based on the issued database access statements for the application (Col. 2, lines 35 – 38, Win⁵), wherein the role may be used to allow a user database access when using the application (Col. 2, lines 39 – 40 and 47 – 49, Win).

Regarding Claim 19, Win discloses an analyzer wherein developing a role comprises:

determining accessed items and types of access for an application based on the issued database access statements for the application (Col. 2, lines 31 – 34, Win⁶);

determining permissions for the application based on the determined accessed items and types of access (Col. 3, lines 34 – 37, Win); and

developing a role associated with the application based on the determined permissions (Col. 2, lines 35 – 38, Win⁷).

Regarding Claim 20, Win discloses an analyzer wherein the determined accessed items and types of access include objects accessed (Col. 2, lines 31 – 33, the resources, Win) and operations performed on the objects (Col. 2, lines 39 – 40, to use the resources, Win).

⁵ Wherein the step of defining the roles corresponds to the step of developing a role claimed.

⁶ Wherein the resources correspond to the accessed items claimed; and the roles correspond to the type of access claimed.

⁷ Wherein the step of defining the roles corresponds to the step of developing a role claimed.

Regarding Claim 21, Win discloses an analyzer wherein developing a role comprises:

determining whether issued database access statements have been captured (Figure 5B, item 516, Col. 10, lines 29 – 34, Win⁸);

normalizing the database access statements (Col. 14, lines 15 – 17, Win); and
eliminating redundancies in the database access statements (Col. 14, lines 15 – 19, Win).

Regarding Claim 22, Win discloses an analyzer wherein the memory comprises instructions (Figure 9, item 906, Col. 26, lines 8 – 12, Win), and the processor operates according to the instructions (Figure 9, item 904, Col. 26, lines 36 – 38, Win).

Regarding Claims 23, Win discloses a method comprising:
capturing the database access statements issued for one or more applications in use (Figure 5B, item 516, Col. 10, lines 29 – 34, Win), wherein the database access statements comprise Structured Query Language (SQL) queries (Col. 7, lines 9 – 11, Win);
normalizing the issued database access statements (Col. 14, lines 15 – 17, Win);
eliminating redundancies in the normalized database access statements (Col. 14, lines 15 – 19, Win);

⁸ Wherein the step of recording a login attempt corresponds to the step of determining whether the database access statements have been captured as claimed. Specifically, the user's name and password correspond to the access statements claimed.

determining accessed items and types of access for an application based on the issued database access statements for the application (Col. 2, lines 31 – 34, Win⁹), wherein the determined accessed items and types of access include objects accessed (Col. 2, lines 31 – 33, the resources, Win) and operations performed on the objects (Col. 2, lines 39 – 40, to use the resources, Win);

determining permissions for the application based on the accessed items and types of access (Col. 3, lines 34 – 37, Win);

developing a role associated with the application based on the developed permissions (Col. 2, lines 35 – 38, Win¹⁰);

determining which of a set of users are authorized to use the application (Col. 3, lines 13 – 14, Win);

detecting a user request to establish a session of the application (Figure 5B, item 516, Col. 10, lines 29 – 34, a login attempt, Win);

determining if the user is authorized to use the application (Col. 13, lines 34 – 36, Win);

if the user is authorized to use the application, finding the role associated with the application (Figure 5C, item 520 and 522, Col. 10, lines 57 – 63, Win);

assigning the role to the user (Col. 13, lines 32 – 34, Win);

detecting an end of the application session (Col. 9 and 10, lines 45 – 47 and 39 – 42; respectively, Win); and

⁹ Wherein the resources correspond to the accessed items claimed; and the roles correspond to the type of access claimed.

¹⁰ Wherein the step of defining the roles corresponds to the step of developing a role claimed.

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if an end of the application session is detected (Col. 10, lines 39 – 42, Win),
disabling the assigned role for the user (Col. 10, lines 42 – 45, Win).

Prior Art Made Of Record

1. Win et al. (US Patent No. 6,182,142 B1, issued: January 30, 2001) disclose a distributed access management of information resources.
2. Menninger (US Patent App. Pub. No. 2003/0069818 A1) discloses a system, method, and computer program product for creating contracts using a graphical user interface in a supply chain management framework.
3. Gold et al. (US Patent App. Pub. No. 2005/0102358 A1) discloses a web page monitoring and collaboration system.


Points Of Contact

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Giovanna Colan whose telephone number is (571) 272-2752. The examiner can normally be reached on 8:30 am - 5:00 pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, John Breene can be reached on (571) 272-4107. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

Giovanna Colan
Examiner
Art Unit 2162
May 17, 2006


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